

03/24/01  
IN THE UNITED STATES PATENT AND TRADEMARK OFFICE

Applicant: RICHARDS ET AL. Examiner: UNKNOWN  
Serial No.: 09/776,609 Group Art Unit: 2152  
Filed: February 2, 2001 Docket: 13095.11USU1  
Due Date: June 13, 2001  
Title: FILTER PROXY SYSTEM AND METHOD

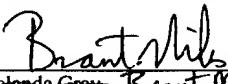
04 CO  
06-08-01

CERTIFICATE UNDER 37 CFR 1.10

'Express Mail' mailing label number: EL 815521720 US

Date of Deposit: May 18, 2001

I hereby certify that this paper or fee is being deposited with the United States Postal Service 'Express Mail Post Office To Addressee' service under 37 CFR 1.10 on the date indicated above and is addressed to the Commissioner of Patents and Trademarks, Washington, D.C. 20231.

By:   
Yolanda Gray Brant Mills



BOX MISSING PARTS

Commissioner for Patents  
Washington, D.C. 20231

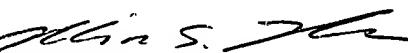
Sir:

We are transmitting herewith the attached:

- Transmittal Sheet in duplicate containing Certificate of Mailing
- Supplemental Response to Notice to File Missing Parts of Nonprovisional Application (1 page)
- Small entity status has been previously established
- Request for Extension of Time for one month(s) and fee of \$55.00
- Submission of Formal Drawings, 15 sheets Formal Drawings
- Check(s) in the amount of \$55.00 for Petition for One-Month Extension of Time
- Other: Copy of Notice to File Missing Parts of Nonprovisional Application (2 pages) and copy of filing documents regarding Response to File Missing Parts previously filed on May 14, 2001 (10 pages)
- Return postcard

Please consider this a PETITION FOR EXTENSION OF TIME for a sufficient number of months to enter these papers, if appropriate. Please charge any additional fees or credit overpayment to Deposit Account No. 13-2725. A duplicate of this sheet is enclosed.

MERCHANT & GOULD P.C.  
P.O. Box 2903, Minneapolis, MN 55402-0903  
612.332.5300

By:   
Name: Min S. Xu  
Reg. No.: 39,536  
AX/mas



IN THE UNITED STATES PATENT AND TRADEMARK OFFICE

Applicant: RICHARDS ET AL. Examiner: UNKNOWN  
 Serial No.: 09/776,609 Group Art Unit: 2152  
 Filed: February 2, 2001 Docket No.: 13095.11USU1  
 Title: FILTER PROXY SYSTEM AND METHOD

CERTIFICATE UNDER 37 CFR 1.10:

"Express Mail" mailing label number: EL 815521720 US  
 Date of Deposit: May 18, 2001

I hereby certify that this correspondence is being deposited with the United States Postal Service "Express Mail Post Office to Addressee" service under 37 CFR 1.10 on the date indicated above and is addressed to BOX MISSING PARTS, Commissioner for Patents, Washington, D.C. 20231.

By: Yolanda Gray  
 Name: Yolanda Gray Braun+Miles

SUPPLEMENTAL RESPONSE TO NOTICE TO FILE MISSING PARTS  
 OF NONPROVISIONAL APPLICATION

BOX MISSING PARTS  
 Commissioner for Patents  
 Washington, D.C. 20231

Dear Sir:

In accordance with the provisions of 37 C.F.R. §1.84, submitted herewith are 15 sheets of formal drawings with the corrected margins as given in 37 C.F.R. § 1.84(g).

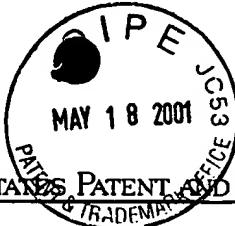
Applicant previously responded to the Notice to File Missing Parts of Nonprovisional Application on May 14, 2001, but the drawings were unintentionally omitted from that response. Enclosed herewith is a copy of the response to the Notice to File Missing Parts filed on May 14, 2001. Also enclosed is a copy of a Petition for One-Month Extension of Time and fee of \$55.00.

Respectfully submitted,

MERCHANT & GOULD P.C.  
 P. O. Box 2903  
 Minneapolis, Minnesota 55402-0903  
 FAX 612/332-9081  
 PHONE 612/332-5300



By Min S. Xu  
 Min S. Xu  
 Reg. No. 39,536  
 AX/mas



C O P Y

## UNITED STATES PATENT AND TRADEMARK OFFICE

COMMISSIONER FOR PATENTS  
 UNITED STATES PATENT AND TRADEMARK OFFICE  
 WASHINGTON, D.C. 20231  
 www.uspto.gov

APPLICATION NUMBER	FILING/RECEIPT DATE	FIRST NAMED APPLICANT	ATTORNEY DOCKET NUMBER
09/776,609	02/02/2001	Kenneth W. Richards	13095.11USU1

CONFIRMATION NO. 4341

23552  
 MERCHANT & GOULD  
 P O BOX 2903  
 MINNEAPOLIS, MN 55402-0903

AXU

D✓ Myarts 2 May 13, 2001 *Mas*  
 Myarts stat Sept 13, 2001 *Mas*

## FORMALITIES LETTER



\*OC00000005853641\*

Date Mailed: 03/13/2001

## NOTICE TO FILE MISSING PARTS OF NONPROVISIONAL APPLICATION

FILED UNDER 37 CFR 1.53(b)

*Filing Date Granted*

An application number and filing date have been accorded to this application. The item(s) indicated below, however, are missing. Applicant is given TWO MONTHS from the date of this Notice within which to file all required items and pay any fees required below to avoid abandonment. Extensions of time may be obtained by filing a petition accompanied by the extension fee under the provisions of 37 CFR 1.136(a).

- The statutory basic filing fee is missing.  
*Applicant must submit \$ 710 to complete the basic filing fee and/or file a small entity statement claiming such status (37 CFR 1.27).*
- Total additional claim fee(s) for this application is \$990.
  - \$990 for 55 total claims over 20.
- The oath or declaration is unsigned.
- To avoid abandonment, a late filing fee or oath or declaration surcharge as set forth in 37 CFR 1.16(e) of \$130 for a non-small entity, must be submitted with the missing items identified in this letter.
- **The balance due by applicant is \$ 1830.**

The application is informal since it does not comply with the regulations for the reason(s) indicated below. Applicant is given TWO MONTHS from the date of this Notice within which to correct the informalities indicated below.

The required item(s) identified below must be timely submitted to avoid abandonment:

- Substitute drawings in compliance with 37 CFR 1.84 because:
  - drawing sheets do not have the appropriate margin(s) (see 37 CFR 1.84(g)). Each sheet must include a top margin of at least 2.5 cm. (1 inch), a left side margin of at least 2.5 cm. (1 inch), a right side margin of at least 1.5 cm. ( 5/8 inch), and a bottom margin of at least 1.0 cm. (3/8 inch);

C O P Y

*A copy of this notice **MUST** be returned with the reply.*

*CHW*

---

Customer Service Center

Initial Patent Examination Division (703) 308-1202

PART 1 - ATTORNEY/APPLICANT COPY

# C O P Y

Receipt is hereby acknowledged for the following in the U.S. Patent and Trademark Office:

In re Application of: RICHARDS ET AL.

For: FILTER PROXY SYSTEM AND METHOD

Docket No.: 13095.11USUI

Filed: FEBRUARY 2, 2001

Serial No.: 09/776,609

Due Date: MAY 13, 2001

Date Mailed: May 14, 2001

- Transmittal Sheet in duplicate containing Certificate of Mailing
- Signed Combined Declaration and Power of Attorney
- Check(s) in the amount of \$915.00 for basic filing fee (\$355.00); additional claims fee (\$495.00); and surcharge (\$65.00)
- Small Entity Status is claimed pursuant to 37 CFR 1.27
- Notice to File Missing Parts of Nonprovisional Application - Part 2
- Return postcard

Patent

AXu:PSTmcp

CONTROL NO. MG-49316

Requestor:

Vendor # / Name: 1002 Commissioner of Patents

Check Date: 05/14/01

Check # 337482

VOUCHER	INV. #	DATE	ACCT / DEPT#	MATTER #	AMOUNT PAID	
509431	mpederson	05-14-01	265001 10100000	HARD DISB PYBL-MSP (EXP G/L)	13095.0011USU1	915.00

C O P Y

Detach Statement Before Depositing Check Total 915.00

CHECK FACE HAS A COLORED BACKGROUND ON WHITE PAPER

**MERCHANT & GOULD**

A Professional Corporation  
An Intellectual Property Law Firm  
1200 IDS Center • (612) 332-5300  
Minneapolis, MN 55402-2215

PAY TO NINE HUNDRED FIFTEEN AND 00/100 DOLLARS

TO THE FOLLOWING

Merchant &amp; Gould P.C.

Commissioner of Patents  
and Trademarks

BACK OF DOCUMENT CONTAINS A SECURITY SLOGAN "ORIGINAL DOCUMENT" TO VERIFY AUTHENTICITY.

"337482" "0929051681" "4990019218"

IN THE UNITED STATES PATENT AND TRADEMARK OFFICE

Applicant: RICHARDS ET AL.  
Serial No.: 09/776,609  
Filed: FEBRUARY 20, 2001  
Due Date: MAY 13, 2001  
Title: FILTER PROXY SYSTEM AND METHOD



Examiner: UNKNOWN  
Group Art Unit: 2152  
Docket: 13095.11USU1

C O P Y

CERTIFICATE UNDER 37 CFR 1.8: The undersigned hereby certifies that this Transmittal Letter and the paper, as described herein, are being deposited in the United States Postal Service, as first class mail, with sufficient postage, in an envelope addressed to: Box MISSING PARTS, Commissioner for Patents, Washington, D.C. 20231, on May 14, 2001.

By: 

Box MISSING PARTS  
Commissioner for Patents  
Washington, D.C. 20231

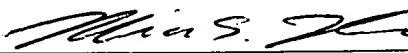
Sir:

We are transmitting herewith the attached:

- Transmittal Sheet in duplicate containing Certificate of Mailing
- Signed Combined Declaration and Power of Attorney
- Check(s) in the amount of \$915.00 for basic filing fee (\$355.00); additional claims fee (\$495.00); and surcharge (\$65.00)
- Small Entity Status is claimed pursuant to 37 CFR 1.27
- Notice to File Missing Parts of Nonprovisional Application - Part 2
- Return postcard

Please consider this a PETITION FOR EXTENSION OF TIME for a sufficient number of months to enter these papers, if appropriate. Please charge any additional fees or credit overpayment to Deposit Account No. 13-2725. A duplicate of this sheet is enclosed.

MERCHANT & GOULD P.C.  
P.O. Box 2903, Minneapolis, MN 55402-0903  
612.332.5300

By:   
Name: Min S. Xu  
Reg. No.: 39,536  
AXu:PSTmcP





UNITED STATES PATENT AND TRADEMARK OFFICE

C O P Y

COMMISSIONER FOR PATENTS  
UNITED STATES PATENT AND TRADEMARK OFFICE  
WASHINGTON, D.C. 20231  
www.uspto.gov

APPLICATION NUMBER	FILING/RECEIPT DATE	FIRST NAMED APPLICANT	ATTORNEY DOCKET NUMBER
09/776,609	02/02/2001	Kenneth W. Richards	13095.11USU1

CONFIRMATION NO. 4341

23552  
MERCHANT & GOULD  
P O BOX 2903  
MINNEAPOLIS, MN 55402-0903

FORMALITIES LETTER



\*OC000000005853641\*

Date Mailed: 03/13/2001

**NOTICE TO FILE MISSING PARTS OF NONPROVISIONAL APPLICATION**

**FILED UNDER 37 CFR 1.53(b)**

*Filing Date Granted*

An application number and filing date have been accorded to this application. The item(s) indicated below, however, are missing. Applicant is given TWO MONTHS from the date of this Notice within which to file all required items and pay any fees required below to avoid abandonment. Extensions of time may be obtained by filing a petition accompanied by the extension fee under the provisions of 37 CFR 1.136(a).

•355

- The statutory basic filing fee is missing.  
*Applicant must submit \$740 to complete the basic filing fee and/or file a small entity statement claiming such status (37 CFR 1.27).*
- Total additional claim fee(s) for this application is \$900. 1495  
1495     ■ \$990 for 55 total claims over 20.
- The oath or declaration is unsigned.
- To avoid abandonment, a late filing fee or oath or declaration surcharge as set forth in 37 CFR 1.16(e) of \$130 for a non-small entity, must be submitted with the missing items identified in this letter.
- The balance due by applicant is \$1830. 165  
165     ■ \$915

The application is informal since it does not comply with the regulations for the reason(s) indicated below. Applicant is given TWO MONTHS from the date of this Notice within which to correct the informalities indicated below.

The required item(s) identified below must be timely submitted to avoid abandonment:

- Substitute drawings in compliance with 37 CFR 1.84 because:

- drawing sheets do not have the appropriate margin(s) (see 37 CFR 1.84(g)). Each sheet must include a top margin of at least 2.5 cm. (1 inch), a left side margin of at least 2.5 cm. (1 inch), a right side margin of at least 1.5 cm. (5/8 inch), and a bottom margin of at least 1.0 cm. (3/8 inch);

*A copy of this notice MUST be returned with the reply.*

C O P Y

*MSH JMF*

---

Customer Service Center

Initial Patent Examination Division (703) 308-1202

PART 2 - COPY TO BE RETURNED WITH RESPONSE